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3624

S&H Form: (02/05)

REPLY/AMENDMENT FEE TRANSMITTAL	Attorney Docket No.	1095.1168	
	Application Number	09/802,995	
	Filing Date	March 12, 2001	
	First Named Inventor	Shigehiko TERASHIMA	
	Group Art Unit	3624	
AMOUNT ENCLOSED	1020.00	Examiner Name	Richard C. Weisberger

FEE CALCULATION (fees effective 12/08/04)

CLAIMS AS AMENDED	Claims Remaining After Amendment	Highest Number Previously Paid For	Number Extra	Rate	Calculations
TOTAL CLAIMS		- 20 =	0	X \$ 50.00 =	\$ 0.00
INDEPENDENT CLAIMS		- 3 =	0	X \$ 200.00 =	0.00
Since an Official Action set an <u>original</u> due date of <u>December 7, 2005</u> , petition is hereby made for an extension to cover the date this reply is filed for which the requisite fee is enclosed (1 month (\$120)); (2 months (\$450)); (3 months (\$1,020)); (4 months (\$1,590)); (5 months (\$2,160)):					1,020.00
If Notice of Appeal is enclosed, add (\$500.00)					
If Statutory Disclaimer under Rule 20(d) is enclosed, add fee (\$130.00)					
Information Disclosure Statement (Rule 1.17(p)) (\$180.00)					
Total of above Calculations =					\$ 1020.00
Reduction by 50% for filing by small entity (37 CFR 1.9, 1.27 & 1.28)					
TOTAL FEES DUE =					\$ 1020.00

- (1) If entry (1) is less than entry (2), entry (3) is "0".
(2) If entry (2) is less than 20, change entry (2) to "20".
(4) If entry (4) is less than entry (5), entry (6) is "0".
(5) If entry (5) is less than 3, change entry (5) to "3".

METHOD OF PAYMENT

- ☒ Check enclosed as payment.
☐ Charge "TOTAL FEES DUE" to the Deposit Account No. below.
☐ No payment is enclosed.

GENERAL AUTHORIZATION

- ☒ If the above-noted "AMOUNT ENCLOSED" is not correct, the Commissioner is hereby authorized to credit any overpayment or charge any additional fees necessary to:
- | | |
|----------------------|--------------------|
| Deposit Account No. | 19-3935 |
| Deposit Account Name | STAAS & HALSEY LLP |
- ☒ The Commissioner is also authorized to credit any overpayments or charge any additional fees required under 37 CFR 1.16 (filing fees) or 37 CFR 1.17 (processing fees) during the prosecution of this application, including any related application(s) claiming benefit hereof pursuant to 35 USC § 120 (e.g., continuations/divisionals/CIPs under 37 CFR 1.53(b) and/or continuations/divisionals/CPAs under 37 CFR 1.53(d)) to maintain pendency hereof or of any such related application.

SUBMITTED BY: STAAS & HALSEY LLP

Typed Name	Richard A. Gollhofer	Reg. No.	31,106
Signature	<i>Richard A. Gollhofer</i>	Date	3/7/06



Docket No.: 1095.1168

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

Shigehiko TERASHIMA

Serial No. 09/802,995

Group Art Unit: 3624

Confirmation No. 6397

Filed: March 12, 2001

Examiner: Richard C. WEISBERGER

For: METHOD AND SYSTEM FOR SUPPORTING TRADE OF SECURITIES

RESPONSE TO REQUIREMENT FOR INFORMATION UNDER 37 CFR § 1.105

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Sir:

This is in response to the Requirement for Information mailed September 5, 2005, and having a period for response set to expire on December 7, 2005. A Petition for a three-month extension of time, together with the requisite fee for same, is submitted herewith, thereby extending the period for response to March 7, 2006.

Most of the information required could not be readily obtained, because the applicant is no longer living. The following information was provided by employees of the assignee.

In regard to items 2(a), (b) & (c) related to the state of the art at the time of filing, information is primarily available regarding practices in Japan. In Japan, a "stabilization operation" has been known as the act of placing, entrusting, or accepting a series of buying and/or selling orders in the securities market with the intention of pegging or stabilizing the prices of a particular issue of securities. Japanese law allows, as an exceptional case, a stabilization operation if it is intended for smooth introduction of newly offered securities in the market. At the time of filing the present application, stabilization operations were done manually by traders, and there were no automated systems that can place orders for the above purpose.

In regard to item 3, Publications relied upon, since the applicant is no longer living, the required information cannot be readily obtained.

In regard to item 4, no information is known of any products or services that have incorporated the claimed subject matter.

In regard to item 5, Specific Improvements of the subject matter, as mentioned above, stabilization operations have been performed manually by traders. Specifically, an experienced trader watches the market price of the issue of interest and places an appropriate amount of buying or selling orders. One obvious drawback of this conventional method is the cost of labor. The computer-implemented method according to claim 1 of the present invention automates stabilization operations for a new set of securities offered in the secondary market, thus reducing labor costs. More specifically, the steps (f) and (g) place buying orders to stabilize the price as described in the specification, page 19, line 27 to page 20, lines 27 with reference steps S13 to S18 of FIG. 15.

Respectfully submitted,

STAAS & HALSEY LLP

Date: 3/7/06

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